



ITW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: **Dimpsey et al.**

Serial No.: **10/807,094**

Filed: **March 22, 2004**

For: **Method and Apparatus for  
Providing Hardware Assistance for  
Code Coverage**

**35525**

PATENT TRADEMARK OFFICE  
CUSTOMER NUMBER

§  
§  
§  
§  
§  
§

Group Art Unit: **2188**

Examiner: **Padmanabhan, Mano**

Attorney Docket No.: **AUS920040059US1**

Certificate of Mailing Under 37 C.F.R. § 1.8(a)

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

*June 27 2005*

By: *Jennifer Pilcher*  
Jennifer Pilcher

TRANSMITTAL DOCUMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:  
ENCLOSED HEREWITH:

- Information Disclosure Statement;
- Form PTO-1449;
- References BH-CM; and
- Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 09-0447. No extension of time is believed to be necessary. If, however, an extension of time is required, the extension is requested, and I authorize the Commissioner to charge any fees for this extension to Deposit Account No. 09-0447.

Respectfully submitted,

*Duke W. Yee*

Duke W. Yee

Registration No. 34,285

YEE & ASSOCIATES, P.C.

P.O. Box 802333

Dallas, Texas 75380

(972) 385-8777

ATTORNEY FOR APPLICANTS



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Dimpsey et al.**

Serial No.: **10/807,094**

Filed: **March 22, 2004**

For: **Method and Apparatus for  
Providing Hardware Assistance for  
Code Coverage**

§

§ Group Art Unit: **2188**

§

§ Examiner: **Padmanabhan, Mano**

§

§ Attorney Docket No.: **AUS920040059US1**

§

§

§

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.

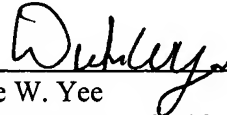
Please charge any fees necessary for prosecution of the present application to Deposit Account No. 09-0447. If any extension of time is required, such extension is hereby requested. Please charge any additional required fee for extension of time to Deposit Account No. 09-0447.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee is required.

Date: 6/21/05

Respectfully submitted,



Duke W. Yee  
*Registration No. 34,285*  
Yee & Associates, P.C.  
P.O. Box 802333  
Dallas, Texas 75380  
(972) 385-8777

Form PTO-1449

ATTORNEY DOCKET NO.  
AUS920040059US1SERIAL NO.  
10/807,094LIST OF PRIOR ART CITED  
BY APPLICANT

(Use several sheets if necessary)

APPLICANT **Dimpsey et al.**FILING DATE **March 22, 2004**GROUP ART UNIT **2188**

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
	AA 5,103,394	Apr. 7, 1992	Blasciak	395/575	Dec. 21, 1989
	AB 6,330,662 B1	Dec. 11, 2001	Patel et al.	712/236	Feb. 23, 1999
	AC 6,480,938 B2	Nov. 12, 2002	Vondran, Jr.	711/125	Dec. 15, 2000
	AD 6,430,741 B1	Aug. 6, 2002	Mattson, Jr. et al.	717/154	Feb. 26, 1999
	AE 6,189,141 B1	Feb. 13, 2001	Benitez et al.	717/4	May 4, 1998
	AF 5,930,508	Jul. 27, 1999	Faraboschi et al.	395/706	Jun. 9, 1997
	AG 6,351,844 B1	Feb. 26, 2002	Bala	717/4	Nov. 5, 1998
	AH 6,324,689 B1	Nov. 27, 2001	Lowney et al.	717/9	Sep. 30, 1998
	AI 6,442,585 B1	Aug. 27, 2002	Dean et al.	709/108	Nov. 26, 1997
	AJ 5,774,724	Jun. 30, 1998	Heisch	395/704	Nov. 20, 1995
	AK 5,987,250	Nov. 16, 1999	Subrahmanyam	395/704	Aug. 21, 1997
	AL 6,192,513 B1	Feb. 20, 2001	Subrahmanyam	717/5	Nov. 2, 1998
	AM 5,691,920	Nov. 25, 1997	Levine et al.	364/551.01	Oct. 2, 1995
	AN 6,223,338 B1	Apr. 24, 2001	Smolders	717/4	Sep. 30, 1998
	AO 6,101,524	Aug. 8, 2000	Choi et al.	709/102	Oct. 23, 1997
	AP 6,256,775 B1	Jul. 3, 2001	Flynn	717/4	Dec. 11, 1997
	AQ 6,446,029 B1	Sep. 3, 2002	Davidson et al.	702/186	Jun. 30, 1999
	AR 6,134,676	Oct. 17, 2000	VanHuben et al.	714/39	Apr. 30, 1998
	AS 5,937,437	Aug. 10, 1999	Roth et al.	711/202	Oct. 28, 1996
	AT 6,243,804 B1	Jun. 5, 2001	Cheng	712/228	Jul. 22, 1998
	AU 4,291,371	Sep. 22, 1981	Holtey	364/200	Jan. 2, 1979
	AV 5,938,778	Aug. 17, 1999	John, Jr. et al.	714/45	Nov. 10, 1997
	AW 6,286,132 B1	Sep. 4, 2001	Tanaka et al.	717/4	Jan. 7, 1999
	AX 6,206,584 B1	Mar. 27, 2001	Hastings	395/183.11	May 31, 1995
	AY 6,374,364 B1	Apr. 16, 2002	McElroy et al.	714/10	Jan. 19, 1999
	AZ 6,070,009	May 30, 2000	Dean et al.	395/704	Nov. 26, 1997
	BA 5,966,537	Oct. 12, 1999	Ravichandran	395/709	May 28, 1997

DATE CONSIDERED

EXAMINER

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>Form PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>			ATTORNEY DOCKET NO. <b>AUS920040059US1</b>		SERIAL NO. <b>10/807,094</b>	
APPLICANT <b>Dimpsey et al.</b>						
FILING DATE <b>March 22, 2004</b>					GROUP ART UNIT <b>2188</b>	
<b>U.S. PATENT DOCUMENTS</b>						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE	
	BB	2002/0129309	Sep. 12, 2002	Floyd et al.	714/724	Dec. 18, 2000
	BC	2001/0032305	Oct. 18, 2001	Barry	712/34	Feb. 23, 2001
	BD	2002/0199179	Dec. 26, 2002	Lavery et al.	717/158	Jun. 21, 2001
	BE	2002/0124237	Sep. 5, 2002	Sprunt et al.	717/127	Dec. 29, 2000
	BF	2002/0147965	Oct. 10, 2002	Swaine et al.	717/124	Feb. 1, 2001
	BG	2002/0019976	Feb. 14, 2002	Patel et al.	717/137	May 25, 2001
<b>FOREIGN PATENT DOCUMENTS</b>						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO	
	BH	JP2000029731	Dec. 8, 1999	Japan	G06F 9/38	X
	BI	JP2000347863	Dec. 15, 2000	Japan	G06F 9/38	X
<b>OTHER PRIOR ART (including author, title, date, pertinent page, etc.)</b>						
	BJ	Kikuchi, "Parallelization Assist System", Joho Shori, Vol. 34, No. 9, Sept. 1993, pp. 1158-1169.				
	BK	Cohen et al., "Hardware-Assisted Characterization of NAS Benchmarks", Cluster Computing, Vol. 4, No. 3, July 2001, pp. 189-196.				
	BL	Talla et al., "Evaluating Signal Processing and Multimedia Applications on SIMD, VLIW and Super Scalar Architectures", International Conference on Computer Design, Austin, Sept. 17-20, 2000, pp. 163-172.				
	BM	Iwasawa et al., "Parallelization Method of Fortran DO Loops by Parallelizing Assist System", Transactions of Information Processings Society of Japan, Vol. 36, No. 8, Aug. 1995, pp. 1995-2006.				
	BN	Talla et al., "Execution Characteristics of Multimedia Applications on a Pentium II Processor", IEEE International Performance, Computing, and Communications Conference, 19 <sup>th</sup> , Phoenix, Feb. 20-22, 2000, pp. 516-524.				
	BO	IBM Research Disclosure Bulletin 444188, "Enable Debuggers as an Objective Performance Measurement Tool for Software Development Cost Reduction", April 2001, pp. 686-688.				
<b>RELATED PATENT APPLICATIONS</b>						
EXAMINER INITIAL		APPLICATION NO./ ATTY. DOCKET NO.	APPLICANT	TITLE		FILING DATE
	BP	09/435,069 AT9-99-491	Davidson et al.	Method and Apparatus for Instruction Sampling for Performance Monitoring and Debug		Nov. 4, 1999
	BQ	08/538,071 AUT919950055US1	Gover et al.	Method and System for Selecting and Distinguishing an Event Sequence using an Effective Address in a Processing System		Oct. 2, 1995
DATE CONSIDERED			EXAMINER			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.						

<b>Form PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>		ATTORNEY DOCKET NO. <b>AUS920040059US1</b>		SERIAL NO. <b>10/807,094</b>	
APPLICANT <b>Dimpsey et al.</b>					
FILING DATE <b>March 22, 2004</b>				GROUP ART UNIT <b>2188</b>	
<b>RELATED PATENT APPLICATIONS</b>					
EXAMINER INITIAL	ATTY. DOCKET NO.	APPLICATION NO./	APPLICANT	TITLE	FILING DATE
	BR	10/675,777 / AUS920030477US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Instruction Execution and Data Accesses	Sep. 30, 2003
	BS	10/674,604 / AUS920030478US1	DeWitt, Jr. et al.	Method and Apparatus for Selectively Counting Instructions and Data Accesses	Sep. 30, 2003
	BT	10/675,831 / AUS920030479US1	DeWitt, Jr. et al.	Method and Apparatus for Generating Interrupts Upon Execution of Marked Instructions and Upon Access to Marked Memory Locations	Sep. 30, 2003
	BU	10/675,778 / AUS920030480US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Data Accesses and Instruction Executions that Exceed a Threshold	Sep. 30, 2003
	BV	10/675,776 / AUS920030481US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Execution of Specific Instructions and Accesses to Specific Data Locations	Sep. 30, 2003
	BW	10/675,751 / AUS920030482US1	DeWitt, Jr. et al.	Method and Apparatus for Debug Support for Individual Instructions and Memory Locations	Sep. 30, 2003
	BX	10/675,721 / AUS920030483US1	Levine et al.	Method and Apparatus to Autonomically Select Instructions for Selective Counting	Sep. 30, 2003
	BY	10/674,642 / AUS920030484US1	Levine et al.	Method and Apparatus to Autonomically Count Instruction Execution for Applications	Sep. 30, 2003
	BZ	10/674,606 / AUS920030485US1	Levine et al.	Method and Apparatus to Autonomically Take an Execution on Specified Instructions	Sep. 30, 2003
	CA	10/675,783 / AUS920030486US1	Levine et al.	Method and Apparatus to Autonomically Profile Applications	Sep. 30, 2003
	CB	10/675,872 / AUS920030487US1	DeWitt, Jr. et al.	Method and Apparatus for Counting Instruction and Memory Location Ranges	Sep. 30, 2003
	CC	10/757,250 / AUS920030488US1	Levine et al.	Method and Apparatus for Maintaining Performance Monitoring Structures in a Page Table for use in Monitoring Performance of a Computer Program	Jan. 14, 2004
	CD	10/757,192 / AUS920030543US1	DeWitt, Jr. et al.	Method and Apparatus for Providing Pre and Post Handlers for Recording Events	Jan. 14, 2004
	CE	10/757,192 / AUS920030548US1	DeWitt, Jr. et al.	Method and Apparatus for Determining Computer Program Flows Autonomically Using Hardware Assisted Thread Stack Tracking and Cataloged Symbolic Data	March 18, 2004
DATE CONSIDERED			EXAMINER		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					

<b>Form PTO-1449</b>  <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>		ATTORNEY DOCKET NO. <b>AUS920040059US1</b>		SERIAL NO. <b>10/807,094</b>	
		APPLICANT <b>Dimpsey et al.</b>			
		FILING DATE <b>March 22, 2004</b>		GROUP ART UNIT <b>2188</b>	
<b>RELATED PATENT APPLICATIONS</b>					
EXAMINER INITIAL		APPLICATION NO./ ATTY. DOCKET NO.	APPLICANT	TITLE	FILING DATE
	CF	10/757,227 / AUS920030555US1	DeWitt, Jr. et al.	Method and Apparatus for Autonomically Moving Cache Entries to Dedicated Storage when False Cache Line Sharing is Detected	Jan. 14, 2004
	CG	10/757,197 / AUS920030556US1	DeWitt, Jr. et al.	Method and Apparatus for Optimizing Code Execution Using Annotated Trace Information having Performance Indicator and Counter Information	Jan. 14, 2004
	CH	10/808,716 / AUS920040060US1	Dimpsey et al.	Method and Apparatus for Autonomic Test Case Feedback Using Hardware Assistance for Code Coverage	Mar. 22, 2004
	CI	10/806,576 / AUS920040061US1	Dimpsey et al.	Method and Apparatus for Hardware Assistance for Data Access Coverage	Mar. 22, 2004
	CJ	10/806,633 / AUS920040062US1	Dimpsey et al.	Method and Apparatus for Providing Hardware Assistance for Data Access Coverage on Dynamically Allocated Data	Mar. 22, 2004
	CK	10/806,917 / AUS920040063US1	Dimpsey et al.	Method and Apparatus for Automatic Test Case Feedback Using Hardware Assistance for Data Coverage	Mar. 22, 2004
	CL	10/806,871 / AUS920040064US1	Dimpsey et al.	Method and Apparatus for Hardware Assistance for Prefetching Data	Mar. 22, 2004
	CM	10/806,866 / AUS920040065US1	Dimpsey et al.	Method and Apparatus for Prefetching Data from a Data Structure	Mar. 22, 2004
DATE CONSIDERED			EXAMINER		
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.					